State of Michigan Department of Consumer and Industry Services Office of Financial and Insurance Services

Enforcement Actions Against Securities Agents , Broker Dealers October– December 2001

Name and Location	Docket No.	Type of License or Registration	Action Taken	Date of Action	Reason for Action	Date Action Closed	Type of Closure	Fines and Penalties
Ridgemont Securities, Inc.	SO 9214	Agent/Broker Dealer	Letter of Undertaking		Unregistered Securities Agent	10-16-01		None- no action taken